



## Declaration for Patent Application

Docket Number: 2132.0010002

As a below named inventor, I hereby declare that:

My residence, mailing address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled **Large Area Nanoenabled Macroelectronic Substrates and Uses Therefor**, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on September 30, 2003;  
as United States Application Number or PCT International Application Number 10/674,060; and  
was amended on September 30, 2003 (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or (f) or § 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or § 365(a) of any PCT international application, which designated at least one country other than the United States of America, listed below, and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Applications(s):

Priority Claimed

_____ (Application No.)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Application No.)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

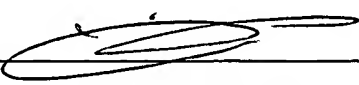
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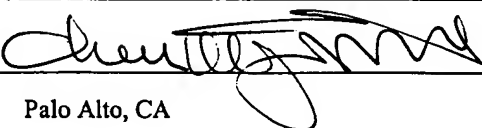
STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934

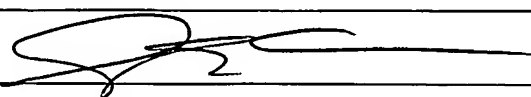
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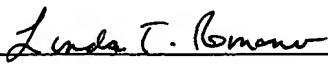
(202) 371-2600

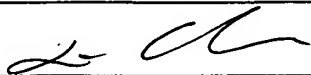
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

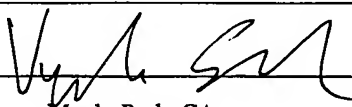
Full name of first Inventor:	Xiangfeng Duan
Signature of first Inventor:	 Date: 2/12/04
Residence:	Mountain View, CA
Citizenship:	China
Mailing Address:	1200 Dale Ave. Apt. # 131 Mountain View, CA, 94040


Full name of second Inventor:	Chunming Niu
Signature of second Inventor:	 Date: 2/11/04
Residence:	Palo Alto, CA
Citizenship:	U.S.A.
Mailing Address:	450 Loma Verde Ave. Palo Alto, CA, 94306

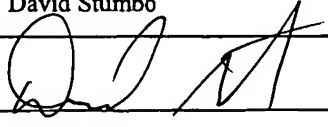
Full name of third Inventor:	Stephen Empedocles
Signature of third Inventor:	 Date: 2/16/04
Residence:	Mountain View, CA
Citizenship:	U.S.A.
Mailing Address:	2507 Mardell Way Mountain View, CA, 94043


Full name of fourth Inventor:	Linda T. Romano
Signature of fourth Inventor:	 Date: 2/12/04
Residence:	Sunnyvale, CA
Citizenship:	U.S.A.
Mailing Address:	1055 Westchester Drive Sunnyvale, CA, 94087

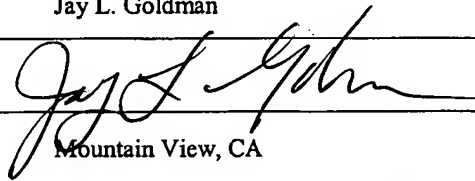
Full name of fifth Inventor:	Jian Chen
Signature of fifth Inventor:	 Date: 2/12/04
Residence:	Mountain View, CA
Citizenship:	People's Republic of China
Mailing Address:	777 W. Middlefield Rd. Apt. 61 Mountain View, CA, 94043

Full name of sixth Inventor:	Vijendra Sahi
Signature of sixth Inventor:	 Date: 2/11/04
Residence:	Menlo Park, CA
Citizenship:	Canada
Mailing Address:	356 Marmona Dr. Menlo Park, CA, 94025

Full name of seventh Inventor:	Lawrence Bock
Signature of seventh Inventor:	 Date: 2/11/04
Residence:	Encinitas, CA
Citizenship:	U.S.A.
Mailing Address:	3663 Lone Dove Lane Encinitas, CA, 92024

Full name of eighth Inventor:	David Stumbo
Signature of eighth Inventor:	 Date: 2/13/04
Residence:	Belmont, CA
Citizenship:	U.S.A.
Mailing Address:	1561 6th Ave. Belmont, CA, 94002

Full name of ninth Inventor:	J. Wallace Parce
Signature of ninth Inventor:	 Date: 2/11/04
Residence:	Palo Alto, CA
Citizenship:	U.S.A.
Mailing Address:	754 Los Robles Ave. Palo Alto, CA, 94306

Full name of tenth Inventor:	Jay L. Goldman
Signature of tenth Inventor:	 Date: 2/11/04
Residence:	Mountain View, CA
Citizenship:	U.S.A.
Mailing Address:	1200 Dale Ave. Apt. 131 Mountain View, CA, 94040



Appl. No. 10/674,060  
Atty. Docket No. 2132.0010002

### POWER OF ATTORNEY FROM ASSIGNEE

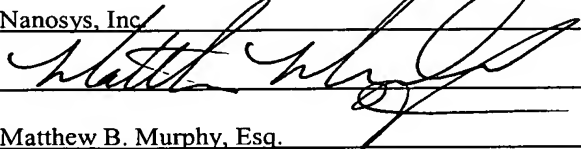
Nanosys, Inc., a corporation of Delaware, having a principal place of business at 2625 Hanover Street, Palo Alto, California, 94304, is assignee of the entire right, title and interest for the United States of America (as defined in 35 U.S.C. § 100), by reason of an Assignment to the Assignee executed on 1) 2-12-04, 2) 2-11-04, 3) 2-16-04, 4) 2-12-04, 5) 2-12-04, 6) 2-11-04, 7) 2-11-04, 8) 2-13-04, 9) 2-11-04, and 10) 2-11-04, of an invention known as Large Area Nanoenabled Macroelectronic Substrates And Uses Therefor, (Attorney Docket No. 2132.0010002), which is disclosed and claimed in a patent application of the same title by the inventor(s) 1) Xiangfeng Duan, 2) Chunming Niu, 3) Stephen Empedocles, 4) Linda T. Romano, 5) Jian Chen, 6) Vijendra Sahi, 7) Lawrence Bock, 8) David Stumbo, 9) J. Wallace Parce, and 10) Jay L. Goldman, (said application filed on September 30, 2003, at the U.S. Patent and Trademark Office, having Application Number 10/674,060).

The Assignee hereby appoint the U.S. attorneys associated with **CUSTOMER NUMBER 28393** to prosecute this application and any continuation, divisional, continuation-in-part, or reissue application thereof, and to transact all business in the U.S. Patent and Trademark Office connected therewith, such attorneys currently being: Robert Greene Sterne, Esq., Reg. No. 28,912; Edward J. Kessler, Esq., Reg. No. 25,688; Jorge A. Goldstein, Esq., Reg. No. 29,021; David K.S. Cornwell, Esq., Reg. No. 31,944; Robert W. Esmond, Esq., Reg. No. 32,893; Tracy-Gene G. Durkin, Esq., Reg. No. 32,831; Michele A. Cimbala, Esq., Reg. No. 33,851; Michael B. Ray, Esq., Reg. No. 33,997; Robert E. Sokohl, Esq., Reg. No. 36,013; Eric K. Steffe, Esq., Reg. No. 36,688; Michael Q. Lee, Esq., Reg. No. 35,239; Steven R. Ludwig, Esq., Reg. No. 36,203; John M. Covert, Esq., Reg. No. 38,759; Linda E. Alcorn, Esq., Reg. No. 39,588; Lawrence B. Bugaisky, Esq., Reg. No. 35,086; Donald J. Featherstone, Esq., Reg. No. 33,876; Robert C. Millonig, Esq., Reg. No. 34,395; Michael V. Messinger, Esq., Reg. No. 37,575; Judith U. Kim, Esq., Reg. No. 40,679; Timothy J. Shea, Jr., Esq., Reg. No. 41,306; and Patrick E. Garrett, Esq., Reg. No. 39,987. The Assignee hereby grants said attorneys the power to insert on this Power of Attorney any further identification that may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office.

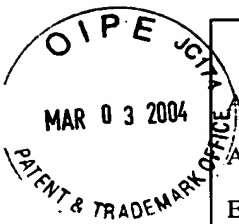
Send correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
U.S.A.

Direct phone calls to 202-371-2600.

FOR: Nanosys, Inc.  
SIGNATURE:   
BY: Matthew B. Murphy, Esq.  
TITLE: Vice President, Intellectual Property  
DATE: 2/18/04

SKGF\_DC1:221088.1



**STATEMENT UNDER 37 C.F.R. 3.73(b)**

Applicant/Patent Owner: Nanosys, Inc.

Application No./Patent No.: 10/674,060

Filed: September 30, 2003

Entitled: Large Area Nanoenabled Macroelectronic Substrates and Uses Therefor

Nanosys, Inc.

(Name of Assignee)

(Title)

, a corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by percentage) of its ownership interest is \_\_\_\_\_% in the patent application patent identified above by virtue of either:
  - A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

**OR**

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

2/18/04  
Date

650-331-2109  
Telephone Number

Matthew B. Murphy, Esq.

Typed or Printed Name

[Signature]  
Signature

Vice President, Intellectual Property

Title

This collection of information is required by 37 CFR 1.3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

## ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): 1) Xiangfeng Duan, 2) Chunming Niu, 3) Stephen Empedocles, 4) Linda T. Romano, 5) Jian Chen, 6) Vijendra Sahi, 7) Lawrence Bock, 8) David Stumbo, 9) J. Wallace Parce, and 10) Jay L. Goldman, the undersigned inventor(s) hereby sell(s) and assign(s) to Nanosys, Inc., (the Assignee) his/her entire right, title and interest, including the right to sue for past infringement and to collect for all past, present and future damages:

*check applicable box(es)*

- ☒ for the United States of America (as defined in 35 U.S.C. § 100),
- ☒ and throughout the world,

(a) in the invention(s) known as Large Area Nanoenabled Macroelectronic Substrates and Uses Therefor, for which application(s) for patent in the United States of America has (have) been executed by the undersigned on 1) 2-12-04,

2) 2-11-04, 3) 2-16-04,

4) 2-12-04, 5) 2-12-04,

6) 2-11-04, 7) 2-11-04,

8) 2-13-04, 9) 2-11-04, and

10) 2-11-04, (also known as United States Application No. 10/674,060, filed September 30, 2003), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing (continuation, divisional, or continuation-in-part) applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue,

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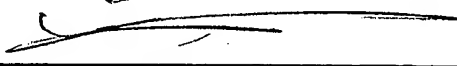
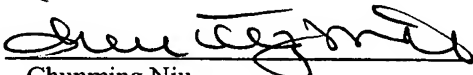

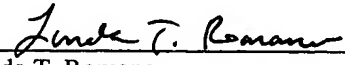
reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire, Registration No. 35,239; Steven R. Ludwig, Esquire, Registration No. 36,203; John M. Covert, Esquire, Registration No. 38,759; Linda E. Alcorn, Esquire, Registration No. 39,588; Lawrence B. Bugaisky, Esquire, Registration No. 35,086; Donald J. Featherstone, Esquire, Registration No. 33,876; Robert C. Millonig, Esquire, Registration No. 34,395; Michael V. Messinger, Esq., Registration No. 37,575; Judith U. Kim, Esq., Registration No. 40,679; Timothy J. Shea, Jr., Esq., Registration No. 41,306; and Patrick E. Garrett, Esq., Registration No. 39,987; all of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: <u>2/12/04</u>	Signature of Inventor: <u></u> Xiangfeng Duan
Date: <u>2/11/04</u>	Signature of Inventor: <u></u> Chunming Niu
Date: <u>2/16/04</u>	Signature of Inventor: <u></u> Stephen Empedocles
Date: <u>2/12/04</u>	Signature of Inventor: <u></u> Linda T. Romano

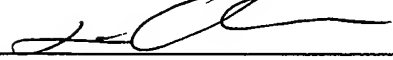
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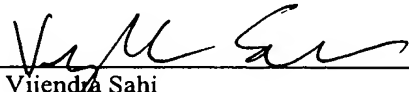


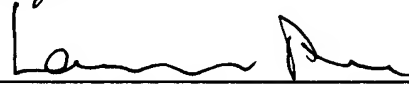
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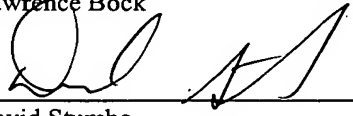
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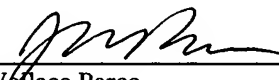
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Date: 2/12/04 Signature of Inventor:   
Jian Chen

Date: 2/11/04 Signature of Inventor:   
Vijendra Sahi

Date: 2/11/04 Signature of Inventor:   
Lawrence Bock

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David Stumbo

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J. Wallace Parce

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Jay L. Goldman

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